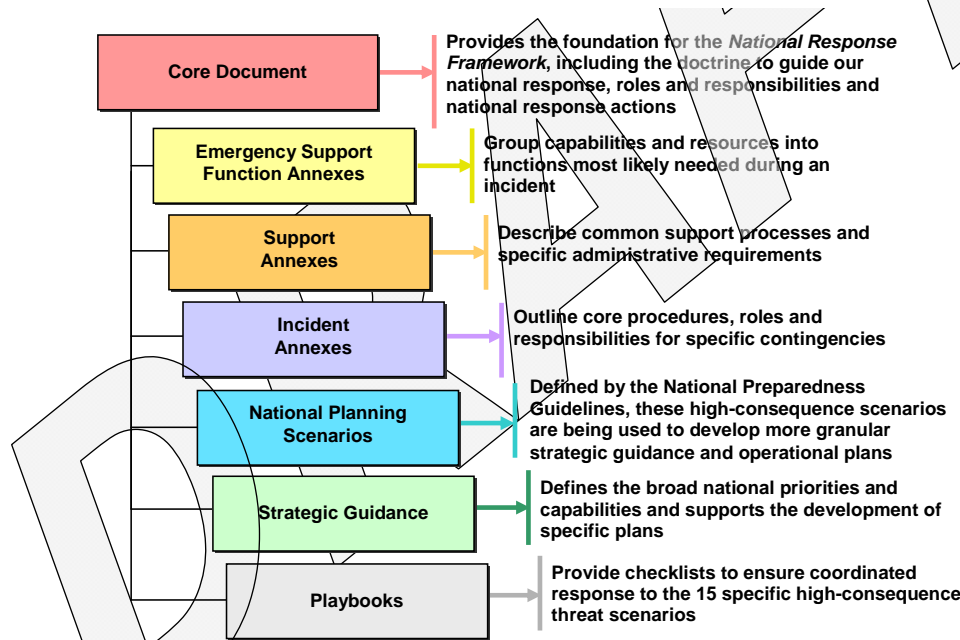


Federal Partner Guide

INTRODUCTION

The Federal Partner Guide is one of many supporting documents that augments the *National Response Framework* by providing detailed information on Federal response roles, responsibilities and actions.

The *Framework* includes the core (or base) document, which describes the doctrine that guides our national response, roles and responsibilities and national response actions, as well as supplemental documents that provide more detailed information to assist practitioners in implementing the *Framework* (see Figure 1).



The Partner Guides for the Federal Government, States, communities and private sector partners summarize core *Framework* concepts and have specifically tailored Concepts of Operations for practitioners and leaders at different levels and types of organizations.

This guide supplements the elements of the *Framework* by describing how the Federal Government organizes and aligns key functional roles and responsibilities to marshal a scalable, flexible and adaptable response to, or in anticipation of, threats or acts of terrorism, major disasters or other emergencies. This includes coordinating structures and processes for incidents requiring:

- Federal support to State, tribal and local governments;
- Support from one Federal department or agency to another (Federal-to-Federal support);
- The exercise of direct Federal authorities and responsibilities; and

- The integration of public and private sector organizations and volunteers into domestic incident management.
- All of these documents are available at the **NRF Resource Center** (www.fema.gov/NRF), and will be updated as necessary.

I. FEDERAL ROLES AND RESPONSIBILITIES

The Federal Government maintains a wide array of capabilities and resources that can be made available to assist State, tribal, local or other Federal partners.

Overall coordination of Federal incident management activities is the responsibility of the Department of Homeland Security (DHS). Other Federal departments and agencies carry out their incident management and emergency response authorities and responsibilities within the overarching coordinating mechanisms of this *Framework*. DHS surges Federal coordination structures at the headquarters, regional and field levels to coordinate Federal support.

For incidents involving primary Federal jurisdiction or authorities (e.g., on a military base or a Federal facility), Federal agencies may be the first responders and first line of defense, coordinating activities with State, territorial, tribal and local partners. The Federal Government also maintains working relationships with private sector businesses and nongovernmental organizations (NGOs).

The doctrine of **unified command** is applied at the headquarters, regional and field levels to enable diverse agencies to work together effectively. Using unified command principles, participants share common goals and synchronize their activities to achieve those goals. The Federal Government also works to establish **engaged partnerships** with States, as well as the private sector. Our national response is more effective when all levels of government work together in advance of an incident to develop effective plans and achieve a heightened state of preparedness.

Key Principles of the *Framework*

1. Engaged partnership
2. Tiered response
3. Scalable, flexible and adaptable operational capabilities
4. Unity of effort through unified command
5. Readiness to act

DEPARTMENT OF HOMELAND SECURITY (DHS)

SECRETARY OF HOMELAND SECURITY

The Secretary is the principal Federal official for domestic incident management and is responsible for coordinating Federal operations within the United States to respond to terrorist attacks, major disasters and other emergencies. The Secretary of Homeland Security provides the President with an overall architecture for emergency response and coordinates the Federal response, when required, while relying on other Federal partners.

FEMA ADMINISTRATOR

The Federal Emergency Management Agency (FEMA) Administrator is the principal advisor to the President, the Homeland Security Council (HSC) and the Secretary for all matters relating to emergency management in the United States. The Administrator partners with

1 State, tribal and local governments and emergency responders, with Federal agencies, with
2 the private sector and with nongovernmental sectors to utilize all the nation's resources to
3 respond to natural disasters, acts of terrorism and other manmade disasters, including
4 catastrophic incidents.

6 **DEPARTMENT OF JUSTICE (DOJ)/ATTORNEY GENERAL**

8 The Attorney General is the chief law enforcement officer of the United States. Generally
9 acting through the Federal Bureau of Investigation, the Attorney General has the lead
10 responsibility for criminal investigations of terrorist acts or terrorist threats by individuals or
11 groups inside the United States or directed at U.S. citizens or institutions abroad, and for
12 coordinating activities of the other members of the law enforcement community.

14 **DEPARTMENT OF DEFENSE (DOD)/SECRETARY OF DEFENSE**

16 The Secretary of Defense authorizes Defense Support of Civil Authorities (DSCA) for
17 domestic incidents as directed by the President or when consistent with military readiness
18 operations and appropriate under the circumstances and the law. The Secretary of Defense
19 retains command of military forces under DSCA.

21 Nothing in this plan impairs or otherwise affects the authority of the Secretary of Defense
22 over the DOD, including the chain of command for military forces, from the President as
23 Commander in Chief, to the Secretary of Defense, to the commander of military forces, or
24 military command and control procedures.

26 **DEPARTMENT OF STATE/SECRETARY OF STATE**

28 The Secretary of State is responsible for managing international preparedness, response
29 and recovery activities relating to domestic incidents and the protection of U.S. citizens and
30 U.S. interests overseas.

32 **INTELLIGENCE COMMUNITY/DIRECTOR OF NATIONAL INTELLIGENCE**

34 The Director of National Intelligence leads the Intelligence Community, serves as the
35 President's principal intelligence advisor and oversees and directs the implementation of the
36 National Intelligence Program.

38 **OTHER FEDERAL AGENCIES**

40 When elements of the *Framework* are implemented, various Federal departments or
41 agencies may play primary, coordinating and/or support roles based on their authorities and
42 resources and the nature of the threat or incident. In situations where a Federal agency has
43 jurisdictional authority and responsibility for directing or managing a major aspect of the
44 response, that agency is part of the national leadership for the incident and participates in
45 the Joint Field Office (JFO) Unified Coordination Group if one is established.

47 Several Federal agencies can declare disasters or emergencies under their own authorities.
48 For example, the Secretary of Health and Human Services can declare a public health
49 emergency. These declarations may be made independently or as part of incidents
50 requiring a coordinated Federal response.

52 The *Framework* includes a number of annexes that are key in describing how Federal
53 departments and agencies become involved in response to incidents under the *Framework*.
54 In serving as primary or support agencies for the Emergency Support Functions (ESFs)

and/or coordinating or cooperating agencies for various Support or Incident Annexes, Federal departments and agencies conduct a variety of activities to include managing specific functions and missions or providing overarching Federal support within their functional areas. Copies of these annexes may be found on the **NRF Resource Center**.

II. KEY FEDERAL POSITIONS AND GROUPS

PRINCIPAL FEDERAL OFFICIAL (PFO)

In a catastrophic or unusually complex incident, the Secretary may elect to designate an individual to serve as his or her primary representative and lead Federal official in the field. This individual serves as and is referred to as the Principal Federal Official (PFO) for the incident. Acting on the Secretary's behalf, the PFO coordinates the activities of other Federal officials, acting under their own authorities, to ensure consistency of Federal support as well as the overall effectiveness of the Federal response.

The PFO interfaces with Federal, State, tribal and local jurisdictional officials regarding the overall Federal incident management strategy and acts as the primary Federal spokesperson to communicate with the media and the public. The PFO serves as a member of the Unified Coordination Group and provides a primary point of contact and situational awareness for the Secretary of Homeland Security.

Individuals appointed as PFOs will be senior Federal officials with proven management experience and strong leadership capabilities. The PFO will be deployed with a small, highly-trained mobile support staff. Once formally designated for an incident in progress, the PFO will relinquish his or her previous duties and focus exclusively on his or her responsibilities as PFO.

The same individual will *not* serve as the PFO and the Federal Coordinating Officer (FCO) at the same time for the same incident.

The PFO does not direct or replace the incident command structure. Nor does the PFO have line authority over the FCO, a Senior Federal Law Enforcement Official (SFLEO), a DOD Joint Task Force Commander or State or local officials. Rather, the PFO promotes cohesion and resolves any interagency conflict that may arise. Other Federal incident management officials retain their authorities as defined in statutes and directives.

FEDERAL COORDINATING OFFICER (FCO)

For Stafford Act events, the President appoints a senior FEMA official to serve as the Federal Coordinating Officer (FCO) to coordinate Federal support in the response and recovery to emergencies and major disasters. The FCO executes Stafford Act authorities, including commitment of FEMA resources and the assignment of missions to other Federal departments or agencies. If a major disaster or emergency declaration covers more than one State, the President may appoint different FCOs for each State or a single FCO for the entire incident with other individuals serving as Deputy FCOs.

The FCO represents the FEMA Administrator in the field to discharge FEMA response and recovery responsibilities. For Stafford Act events the FCO is the primary Federal representative with whom State and local emergency management officials and State, tribal and local chief elected or appointed officials interface in the field. The FCO is the focal point of coordination within the Unified Coordination Group, ensuring overall integration of Federal emergency management, resource allocation and the seamless integration of Federal

activities in support of, and in coordination with, State, tribal and local requirements. Unless a PFO is assigned, the FCO also serves locally as a primary, although not exclusive, point of contact for Federal interfaces with the media and the private sector.

FEDERAL RESOURCE COORDINATOR (FRC)

In non-Stafford Act situations, when a Federal department or agency acting under its own authority has requested the assistance of the Secretary of Homeland Security, DHS may designate a Federal Resource Coordinator (FRC). In these situations, the FRC coordinates Federal incident support through interagency agreements and memorandums of understanding. Relying on the same skill set, DHS may select the FRC from the FCO cadre or other personnel with equivalent knowledge, skills and abilities.

SENIOR FEDERAL LAW ENFORCEMENT OFFICIAL (SFLEO)

The Senior Federal Law Enforcement Official (SFLEO) is appointed by the Attorney General during an incident requiring a coordinated Federal response to coordinate all law enforcement, public safety and security operations with intelligence or investigative law enforcement operations directly related to the incident. The SFLEO is a member of the Unified Coordination Group and, as such, is responsible for ensuring that allocation of law enforcement requirements and resource allocations are coordinated as appropriate with all other members of the Group.

In the event of a terrorist incident, the SFLEO will normally be a senior Federal Bureau of Investigation (FBI) official who has coordinating authority over all law enforcement activities related to the incident, both those falling within the Attorney General's explicit authority as recognized in HSPD-5 and those otherwise directly related to the incident itself.

OTHER SENIOR OFFICIALS

Based on the scope of an incident, senior officials from other Federal departments and agencies, State, tribal or local government, private sector or nongovernmental organizations, or other entities with primary statutory or jurisdictional responsibility and significant operational responsibility for an aspect of an incident may be asked to participate in a JFO Unified Coordination Group.

DEFENSE COORDINATING OFFICER (DCO)

The DCO is a military officer who serves as DOD's single point of contact at the JFO. With few exceptions, requests for DSCA originating at the JFO are coordinated with and processed through the DCO. The DCO may have a Defense Coordinating Element consisting of a staff and military liaison officers to facilitate coordination and support to ESFs. Specific responsibilities of the DCO (subject to modification based on the situation) include processing requirements for military support, forwarding mission assignments to the appropriate military organizations through DOD-designated channels and assigning military liaisons to ESFs.

DOD JOINT TASK FORCE (JTF) COMMANDER

Based on the complexity and type of incident and the anticipated level of DOD resource involvement, DOD may designate a JTF to command Federal (Title 10) military activities in support of the incident objectives. If a JTF is established, consistent with DOD operational

requirements, its command and control element establishes a liaison with the JFO to ensure coordination and unity of effort.

INFRASTRUCTURE LIAISON

The Infrastructure Liaison is assigned to the incident by the DHS Office of Infrastructure Protection (OIP) and advises the JFO Unified Coordination Group on critical infrastructure and key resources (CI/KR) issues. See the CI/KR Support Annex on the **NRF Resource Center** for more information.

HOMELAND SECURITY COUNCIL (HSC)/NATIONAL SECURITY COUNCIL (NSC)

In support of the President, the Homeland Security Council (HSC) and National Security Council (NSC) provide national strategic and policy guidance during large-scale incidents. The HSC and NSC ensure coordination for all homeland and national security-related activities among executive departments and agencies and promote effective development and implementation of related policy. The HSC and NSC use principles of unified command to ensure unity of effort across the Federal Government.

III. CONCEPT OF OPERATIONS

PROCESSES

DHS manages incidents requiring a coordinated Federal response in accordance with HSPD-5. The Secretary of Homeland Security implements elements of the *Framework* based on the specifics and magnitude of the threat or incident.

The Federal Government utilizes various multi-agency structures at the field, regional and headquarters levels to coordinate efforts and provide support to the State. Federal support to the State is coordinated through the JFO. At the regional level, the Regional Response Coordination Center (RRCC) provides interagency resource coordination and multi-agency incident support. At the Federal headquarters level, the NOC, and its component element, the National Response Coordination Center (NRCC), coordinate incident information sharing, strategic planning and deployment of Federal resources.

FEDERAL INCIDENT MANAGEMENT STRUCTURES

EMERGENCY SUPPORT FUNCTIONS (ESFs)

An ESF is a mechanism for grouping government and certain private sector capabilities into an organizational structure to provide the support, resources, program implementation and services most likely to be needed during a response. ESFs serve as the primary operational-level mechanism to provide assistance to State, tribal and local governments or to Federal departments and agencies conducting missions of primary Federal responsibility.

Each ESF is composed of a coordinator and primary and support agencies (see Table 1). The *Framework* identifies primary agencies on the basis of authorities, resources and capabilities. Support agencies are assigned based on resources and capabilities in a given functional area. The resources provided by the ESFs reflect the resource-typing categories identified in the *National Incident Management System (NIMS)*. ESFs support one another

in carrying out their respective roles and responsibilities. Additional discussion on the roles and responsibilities of ESF coordinators, primary agencies and support agencies can be found in the introduction to the ESF Annexes on-line in the **NRF Resource Center**.

Depending on the scope and nature of the incident, the JFO Unified Coordination Group identifies which ESFs will staff the various functional areas. For example, ESF #1 – Transportation normally provides staff to the Logistics Section. In an evacuation event, ESF #1 would also assign staff to the Operations Section. This use of Incident Command System (ICS) structures and cross-function staffing provides flexibility for interaction and the blending of specialties, expertise and information essential to accomplish the mission at hand.

Table 1. ESF Teams and Coordinators

ESF #1 – Transportation	
ESF Coordinator: Department of Transportation	
<ul style="list-style-type: none"> Federal and civil transportation support Transportation safety Restoration and recovery of transportation infrastructure Movement restrictions Damage and impact assessment 	
ESF #2 – Communications	
ESF Coordinator: DHS (National Communications System)	
<ul style="list-style-type: none"> Coordination with telecommunications industry Restoration and repair of communications infrastructure Protection, restoration and sustainment of national cyber and information technology resources Oversight of communications within the Federal incident management structure 	
ESF #3 – Public Works and Engineering	
ESF Coordinator: Department of Defense (U.S. Army Corps of Engineers)	
<ul style="list-style-type: none"> Infrastructure protection and emergency repair Infrastructure restoration Engineering services, construction management Critical infrastructure liaison 	
ESF #4 – Firefighting	
ESF Coordinator: Department of Agriculture (U.S. Forest Service)	
<ul style="list-style-type: none"> Firefighting activities on Federal lands Resource support to rural and urban firefighting operations 	
ESF #5 – Emergency Management	
ESF Coordinator: DHS (FEMA)	
<ul style="list-style-type: none"> Coordination of incident management efforts Issuance of mission assignments Resource and human capital Incident action planning Financial management 	
ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services	
ESF Coordinator: DHS (FEMA)	
<ul style="list-style-type: none"> Mass care Disaster housing Human services 	
ESF #7 – Resource Support	
ESF Coordinator: General Services Administration	
<ul style="list-style-type: none"> Resource support (facility space, office equipment and supplies, contracting services, etc.) 	

ESF #8 – Public Health and Medical Services ESF Coordinator: Department of Health and Human Services <ul style="list-style-type: none"> • Public health • Medical • Mental health services • Mortuary services
ESF #9 – Search and Rescue ESF Coordinator: DHS (FEMA) <ul style="list-style-type: none"> • Life-saving assistance • Search and rescue operations
ESF #10 – Oil and Hazardous Materials Response ESF Coordinator: Environmental Protection Agency <ul style="list-style-type: none"> • Oil and hazardous materials (chemical, biological, radiological, etc.) response • Environmental safety and short- and long-term cleanup
ESF #11 – Agriculture and Natural Resources ESF Coordinator: Department of Agriculture <ul style="list-style-type: none"> • Nutrition assistance • Animal and plant disease and pest response • Food safety and security • Natural and cultural resources and historic properties protection • Safety and well-being of pets
ESF #12 – Energy ESF Coordinator: Department of Energy <ul style="list-style-type: none"> • Energy infrastructure assessment, repair and restoration • Energy industry coordination • Energy forecast
ESF #13 – Public Safety and Security ESF Coordinator: Department of Justice <ul style="list-style-type: none"> • Facility and resource security • Security planning and technical resource assistance • Public safety and security support • Support to access, traffic and crowd control
ESF #14 – Long-Term Community Recovery ESF Coordinator: DHS (FEMA) <ul style="list-style-type: none"> • Social and economic community impact assessment • Long-term community recovery assistance to States, local governments and the private sector • Mitigation analysis and program implementation
ESF #15 – External Affairs ESF Coordinator: DHS <ul style="list-style-type: none"> • Emergency public information and protective action guidance • Media and community relations • Congressional and international affairs • Tribal and insular affairs

SPECIALIZED TEAMS

Depending upon the type and scope of an incident, a number of different Federal assets may be dispatched to a community in need during the first hours following an incident. Of course, in some cases, the proximity of Federal incident management employees already working in a community may facilitate delivery of Federal support that ranges from experienced and professional emergency management teams to other temporary and *ad hoc* assistance.

Following a President's official declaration of an emergency or disaster, a wide array of Federal assets can be deployed as needed. DHS/FEMA has developed a next generation of **rapidly deployable, nationally and regionally based interagency incident response teams, known as Incident Management Assist Teams (IMATs)**. These new teams replace existing Emergency Response Teams at the national and regional levels, as well as

the Federal Incident Response Support Teams. They will provide a forward Federal presence to improve response to serious incidents requiring Federal assistance.

The IMATs will support efforts to meet the emergent needs of State and local jurisdictions, possess the capability to provide initial situational awareness for Federal decisionmakers and support the initial establishment of a unified command.

Other initial response and coordination tools deployed by DHS/FEMA in conjunction with declared emergencies and disasters include:

- ***Hurricane Liaison Team (HLT).*** The HLT is a small team designed to enhance hurricane disaster response by facilitating information exchange between the National Hurricane Center in Miami, Florida, and other National Oceanic and Atmospheric Administration components and Federal, State and local government officials.
- ***Urban Search and Rescue (US&R) Task Forces.*** The National US&R Response System is a framework for structuring local emergency services personnel into integrated disaster response task forces. The 28 National US&R Task Forces, complete with the necessary tools, equipment, skills and techniques, can be deployed by DHS/FEMA to assist State and local governments in rescuing victims of structural collapse incidents or to assist in other search and rescue missions. Each task force must have all its personnel and equipment at the embarkation point within 6 hours of activation. A task force can be dispatched and en route to its destination in a matter of hours.
- ***Mobile Emergency Response Support (MERS).*** The primary function of MERS is to provide mobile telecommunications capabilities and life, logistics, operational and power generation support required for the onsite management of disaster response activities. MERS support falls into three broad categories: (1) operational support elements; (2) communications equipment and operators; and (3) logistics support.

MERS supports Federal, State, and local responders in their efforts to save lives, protect property and coordinate disaster operations. Staged in six strategic locations, one with offshore capabilities, the MERS detachments can concurrently support multiple field operating sites within a disaster area.

Incident Management Assist Teams (IMATs)

The IMATs will rapidly deploy to an incident or incident threatened site, provide incident management presence, identify requirements for Federal assistance, improve situational awareness and coordinate integrated response in support of an affected State.

REGIONAL RESPONSE COORDINATION CENTER (RRCC)

The RRCC is an interagency facility located in one of DHS/FEMA's 10 regional offices. The DHS/FEMA Regional Administrator activates the RRCC to coordinate regional response efforts, establish Federal priorities and implement local Federal program support until a JFO is established and/or the PFO, FCO or FRC can assume his or her *Framework* coordination responsibilities. ESF activities may be performed initially at the RRCC prior to the establishment of a JFO.

JOINT FIELD OFFICE (JFO)

The JFO is a temporary Federal facility that provides a central location for the coordination of Federal, State, tribal and local governments and private sector businesses and NGOs with primary responsibility for response and short-term recovery.

Organized, staffed and managed in a manner consistent with *NIMS*, the JFO utilizes the scalable organizational structure of *NIMS* ICS in the context of both pre-incident and post-incident management activities. The JFO organization adapts to the magnitude, complexity and needs of the incident and incorporates the *NIMS* principles regarding span of control.

Personnel from Federal and State departments and agencies, other jurisdictional entities and private sector businesses and NGOs may be requested to staff various positions of the JFO, depending on the requirements of the incident. When incidents affect the entire nation or multiple States or localities, multiple JFOs may be established. In these situations, a Unified Area Command may be established. The physical location of the Unified Area Command depends on the situation.

UNIFIED COORDINATION GROUP

Using unified command principles, a **Unified Coordination Group** comprised of senior officials from the State and key Federal departments and agencies is established at the JFO. The JFO activities are directed by a JFO Unified Coordination Group, using the *NIMS* principle of Unified Command.

The composition of the JFO is dependent on the nature and magnitude of the incident; it normally includes the FCO/FRC, a PFO (if one is appointed), State Coordinating Officer (SCO), SFLEO and other senior officials. Typically, membership in the JFO Unified Coordination Group is based on the following *NIMS* criteria. The individual must lead an organization that:

- Has legal jurisdiction/functional authority and responsibility for the incident (duration of assignment in the JFO Unified Coordination Group is limited to the length of statutory or other authority during incident);
- Is affected by the incident or response requirements;
- Is specifically charged with commanding, coordinating or managing a major aspect of the response; and
- Has the resources to support participation in the organization.

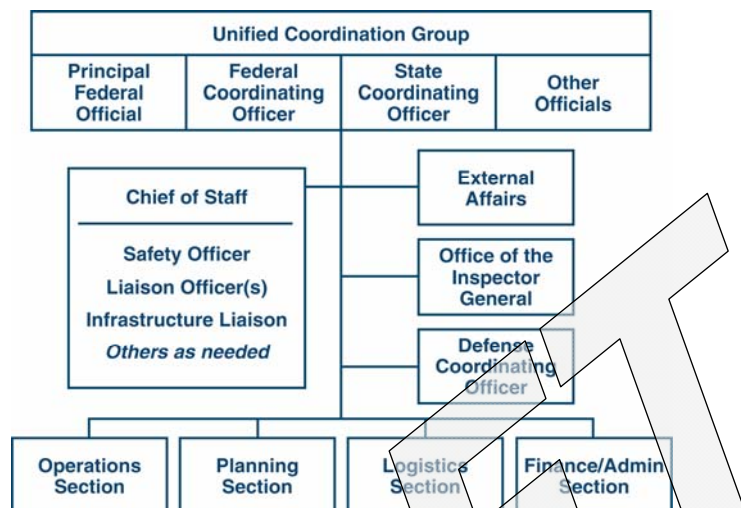
The JFO includes a **Unified Coordination Staff**. The JFO Unified Coordination Group determines the extent of staffing based on the type and magnitude of the incident or threat. See the JFO Standard Operating Procedure in the **NRF Resource Center** for details on staff positions.

JFO SECTIONS

The JFO staff is organized according to the *NIMS*/ICS construct of: Operations, Planning, Logistics, and Finance/Administration.

Figure 2 illustrates a possible JFO organizational structure. All or portions of this organizational structure may be activated based on the nature and magnitude of the threat or incident.

Figure 2. Sample JFO Organization



If other Federal departments/agencies establish field locations, those facilities may or may not be co-located with the JFO. Regardless of where the facilities are located, however, all Federal activities will be coordinated with the Unified Coordination Group. If a DOD Joint Task Force is established, its command and control element will co-locate with the Unified Coordination Group whenever possible. In the event that co-location is not practical, Federal agencies will be connected virtually to the JFO and will assign liaisons to the JFO. State, tribal, local, private sector and NGOs are also encouraged to assign liaisons to the JFO.

When incidents impact the entire nation or multiple States or localities, multiple JFOs may be established. In these situations, a Unified Area Command may be established. The physical location of the Unified Area Command depends on the situation.

JOINT INFORMATION CENTER (JIC)

The JIC is a physical location from which external affairs professionals from all the organizations involved in an incident work together to provide coordinated, consistent emergency information, media response and public affairs functions. The JIC is established at or virtually connected to the JFO, through the ESF #15 staff. Depending on the nature or magnitude of an incident, JICs may be established at multiple locations. Co-location of the Federal, State and local JICs is encouraged.

JOINT OPERATIONS CENTER (JOC)

The JOC is an interagency command post established by the FBI to manage terrorist threats or incidents and investigative and intelligence activities. The JOC coordinates the necessary interagency law enforcement assets required to prepare for, respond to and resolve the threat or incident with State, tribal and local law enforcement agencies.

NATIONAL OPERATIONS CENTER (NOC)

As the primary national hub for situational awareness and operations coordination, the NOC maintains the common operating picture through communications and information fusion and sharing. The NOC facilitates homeland security information-sharing and operational coordination with other Federal, State, tribal, local and nongovernmental EOCs and provides the Secretary of Homeland Security and the HSC with information necessary to make

critical, national incident management decisions. The NOC consists of the following five elements:

NOC INTERAGENCY WATCH

The Watch monitors the national situation and puts incidents into context. The Watch is comprised of representatives from DHS components and Federal, State and local departments and agencies, as required, supporting steady-state, 24/7 domestic situational awareness, threat-monitoring, operations coordination and domestic incident management activities.

NATIONAL RESPONSE COORDINATION CENTER (NRCC)

The NRCC is DHS/FEMA's primary operations center and is responsible for national incident response and recovery as well as national resource coordination. The NRCC monitors potential or developing incidents and supports the efforts of regional and field components. The NRCC surges from a small, 24/7 watch team by activating ESFs and other personnel as needed for incident coverage. During response operations, the NRCC provides overall Federal response and recovery coordination for the ESFs and multiple incidents as required.

INTELLIGENCE & ANALYSIS (I&A)

I&A monitors the national intelligence situation and provides threat information, analysis and intelligence oversight related to the incident. In partnership with other elements of the NOC, the I&A is responsible for interagency intelligence collection, analysis, production and product dissemination.

NATIONAL INFRASTRUCTURE COORDINATING CENTER (NICC)

The NICC, managed by the DHS OIP, provides national critical infrastructure/key resources (CI/KR) situational awareness. The NICC supports requests for information and action from government and industry partners. The NICC monitors the nation's CI/KR on an ongoing basis and conducts daily polling of the standing information-sharing entities for incidents and abnormalities. During an incident, the NICC provides mechanisms to share and assess information across infrastructure and key resources sectors through appropriate information-sharing entities.

INCIDENT MANAGEMENT PLANNING TEAM

The Incident Management Planning Team (IMPT) is an interagency planning entity that develops and maintains national/strategic-level incident management plans. The IMPT's membership is designed to surge during incidents to provide crisis action team support.

OTHER HEADQUARTERS AND FIELD-LEVEL STRUCTURES

STRATEGIC INFORMATION AND OPERATIONS CENTER (SIOC)

The FBI SIOC is the focal point and operational control center for all Federal intelligence, law enforcement and investigative law enforcement activities related to domestic terrorist incidents or credible threats, including leading attribution investigations. The SIOC serves as an information clearinghouse to help collect, process, vet and disseminate information relevant to law enforcement and criminal investigation efforts in a timely manner. The SIOC maintains direct connectivity with the NOC. The SIOC, located at FBI Headquarters,

supports the FBI's mission in leading efforts of the law enforcement community to detect, prevent, preempt and disrupt terrorist attacks against the United States.

NATIONAL COUNTERTERRORISM CENTER (NCTC)

The NCTC serves as the primary Federal organization for analyzing and integrating all intelligence possessed or acquired by the U.S. Government pertaining to terrorism and counterterrorism, excepting intelligence pertaining exclusively to domestic terrorists and domestic counterterrorism. (The FBI has primary responsibility for domestic counterterrorism.) The NCTC also conducts strategic operational planning for counterterrorism activities, integrating all instruments of national power, including diplomatic, financial, military, intelligence, homeland security and law enforcement activities within and among agencies.

ACTIONS

This section describes actions performed by the above structures during the **three phases of incident management: *prepare, respond and recover.***

PREPARE

Effective preparedness is an essential precondition for successful incident management. Actions are predicated on the six phases of preparedness: plan, organize, train, equip, exercise and evaluate/improve.

PLAN. Each Federal department or agency must also plan for its role in incident management. Regardless of their roles, all Federal agencies must develop policies, plans and procedures governing how they will effectively locate resources and provide them as part of a coordinated Federal response.

ORGANIZE. Federal departments and agencies must organize to support effective incident management by:

- Identifying and describing individual Federal resources, and ESF teams to assign primary and supporting actions to specific Federal departments and agencies, organize certain categories of resources and deploy resources
- Enhancing response capability through pre-scripted mission assignments and advanced readiness contracts, as well as through pre-positioned resources.
- Pre-positioning resources close to those localities most at risk for particular types of events by leveraging the geographic distribution of Federal regional, district and sector offices across the country.
- Maintaining active operations centers to ensure active situational awareness and interactive communications within and among Federal department and agency headquarters and regional offices across the country.

TRAIN. Each Federal department and agency must ensure that key incident management personnel are trained to an appropriate skill level in incident management principles and subject matter requirements.

EQUIP. Each Federal department and agency must obtain equipment needed to perform agency-specific emergency response missions, maintain core capabilities and communicate effectively among Federal, State and local responders using the incident management

structures described in the *Framework*. Federal departments and agencies responsible for providing equipment for incident management activities should bundle that equipment into standardized equipment caches and be prepared to provide for its safe transportation.

EXERCISE. Exercising is key to preparedness, and Federal departments and agencies must exercise their response capabilities and evaluate their abilities to perform.

EVALUATE AND IMPROVE. Federal entities must maintain a corrective action program to evaluate exercise participation and incident performance, capture lessons learned and make improvements as indicated.

RESPOND

Once an incident occurs, the priorities shift from prevention, preparedness and incident mitigation to immediate and short-term response activities. Specific response actions will vary depending upon the scope and nature of an incident. Response actions are based on the shared objectives established by the JFO's Unified Coordination Group. Detailed information about the full range of potential response capabilities is contained in the ESF Annexes, Incident Annexes, and Support Annexes.

SITUATIONAL AWARENESS, INCIDENT REPORTING, INITIAL INCIDENT ASSESSMENT

Federal, State, tribal, local, private sector and nongovernmental entities report threats, incidents and potential incidents using established communications and reporting channels. The NOC receives threat and operational information regarding incidents or potential incidents and makes an initial determination to initiate the coordination of Federal information-sharing and incident management activities. Suspicious activity, terrorist threats and actual incidents with a potential or actual terrorist link are reported immediately to a local or regional Joint Terrorism Task Force (JTTF) (or the National JTTF (NJTTF), in the case of Federal departments/agencies).

When the NOC receives credible threat information, NOC staff pass the information to appropriate Federal, State, tribal and local intelligence and law enforcement agencies as quickly as possible using established security protocols and in coordination with the FBI and NCTC.

The NOC also monitors all incidents, and receives reports from various operations centers. When notified of a hazard or an incident with possible national implications, the NOC assesses the situation and notifies the Secretary of Homeland Security accordingly. The Secretary of Homeland Security then determines whether to activate *Framework* elements.

DISSEMINATION OF WARNINGS AND NOTIFICATION

Various agencies, based on their statutory missions and authorities, issue watches, warnings and other emergency bulletins. For example, the National Weather Service issues weather-related notices to warn the public of impending storms and severe weather. The FBI develops and disseminates FBI intelligence bulletins and threat warnings to law enforcement in coordination with DHS. The NOC coordinates with the appropriate partners for terrorism-related threat analysis and warnings.

INITIAL ACTIONS

First responders and local government authorities take initial steps to protect the public and minimize damage to property and the environment.

In response to a terrorist event, law enforcement actions to collect and preserve evidence and to apprehend perpetrators may take place simultaneously with response operations necessary to save lives and protect property, and the various activities are closely coordinated.

ACTIVATION

The *Framework* is always in effect. However, the level of activation of *Framework* coordinating structures and processes is flexible and scalable depending on the nature of the threat or incident. Actions range in scope from ongoing situational reporting and analysis, through the implementation of *Framework* annexes and other supplemental Federal contingency plans, to full implementation of all relevant *Framework* coordination mechanisms.

Federal departments and agencies, upon receiving notification or activation requests, must implement their agency-specific emergency operations plans to activate resources and organize the agency's response actions. Agency-level plans should incorporate procedures for:

- Reporting instructions for key internal resources.
- Designation of department or agency representatives for interagency coordination.
- Activation of coordination groups managed by the department or agency in accordance with roles and responsibilities.
- Activation, mobilization, deployment and ongoing status reporting for resource-typed teams with responsibilities for providing capabilities under the *Framework*.
- Readiness to execute mission assignments in response to requests for assistance (including pre-scripted mission assignments), and to support all levels of the department or agency participating in the response, both at the field and the national levels.
- Ensuring that department or agency resources (personnel, teams or equipment) fit into the interagency incident management framework set out in the *Framework*.

NATIONAL RESPONSE COORDINATION CENTER (NRCC)

The NRCC coordinates the initial activation, which normally includes the deployment of special teams, the initiation and monitoring of mission assignments (Stafford Act only) or other interagency requirements (non-Stafford Act), and NRCC(s) activities, as required. The NRCC informs primary ESF agencies of the activation. Primary agencies notify and activate ESF support agencies if required.

Primary ESF agencies determine the impact of the incident on their own capabilities and identify, mobilize and deploy resources under the mission assignment process or interagency agreements to support response activities in the affected jurisdiction(s).

REGIONAL ACTIVITIES

Regional resources may be activated to monitor and assess the need for Federal incident management support. The DHS/FEMA Regional Administrator activates the RRCC and deploys liaisons to the State EOCs. ESF primary and support agencies provide representatives to staff the RRCC, as required.

Incident Management Assist Team (IMAT). In coordination with the RRCC, FEMA may deploy an IMAT. IMATs are interagency teams composed of subject matter experts and incident management professionals. IMAT personnel may be drawn from national or regional Federal department and agency staff according to pre-established protocols. IMAT teams make preliminary arrangements to set up Federal field facilities and initiate establishment of the JFO.

The RRCC verifies communications with the NRCC and the affected State's emergency EOC and coordinates deployment of field teams to assess damage, develops situation reports and issues initial mission assignments.

During actual response operations, the RRCC coordinates Federal support of State requirements until a JFO is established and the FCO or FRC assumes those responsibilities. A JIC may be established in conjunction with the RRCC, as required, to coordinate emergency public information activities.

JOINT FIELD OFFICE (JFO)

Staff in the JFO work in coordination with State, tribal, county and local EOC personnel to support incident management efforts. Using the planning processes outlined in *NIMS*, the JFO staff develop and execute an Incident Action Plan for providing Federal support to State and local authorities but do not manage on-scene operations.

The JFO Unified Coordination Group may convene virtually or at an alternate location before the actual JFO facility is established. The JFO Unified Coordination Group sets Federal operational priorities, allocates resources, resolves interagency policy issues and provides strategic guidance to support Federal incident management activities. If the members of the JFO Unified Coordination Group cannot resolve a particular policy issue, the issue can be elevated to the PFO, if one is appointed, or through the appropriate chain of command for consideration by higher authorities.

As immediate response and life-saving activities are completed, the emphasis shifts to recovery operations and hazard mitigation, if applicable.

DOD SUPPORT

The primary mission of DOD and its components is national defense. In some instances, national defense assets will be available to support civil authorities. Defense resources are committed after approval by the Secretary of Defense or at the direction of the President. When deciding to commit DOD resources, consideration is given to military readiness, appropriateness of the circumstances and whether the response is in accordance with the law. Continuous coordination with Federal, State, local and tribal elements before, during and after an event is essential for efficient and effective DSCA. When DOD military forces are authorized to support the needs of civil authorities, command of those forces remains with the Secretary of Defense.

DEFENSE SUPPORT OF CIVIL AUTHORITIES (DSCA)

DOD provides DSCA in response to requests for assistance during domestic incidents, to include terrorist attacks, major disasters and other emergencies. DSCA refers to DOD support provided by Federal military forces, DOD civilians and contract personnel and DOD agencies and components in response to requests for assistance.

REQUESTING DSCA

Requests for DSCA originating at the JFO will be coordinated and processed through the DCO, with the exception of requests for U.S. Army Corps of Engineers (USACE) support, National Guard forces operating in State Active Duty or Title 32 status (i.e., not in Federal service) or, in some circumstances, DOD forces in support of the FBI. Specific responsibilities of the DCO are subject to modification by the supported combatant commander based on the situation.

UNITY OF COMMAND

Concepts of “command” and “unity of command” have distinct legal and cultural meanings for military forces and military operations. For military forces, command runs from the President to the Secretary of Defense to the Commander of the combatant command to the DOD on-scene commander. The “unified command” concept is distinct from the military chain of command. And, as such, military forces do not operate under the command of the Incident Commander or under the unified command structure. Nonetheless, DOD is a full partner in the Federal response to domestic incidents and their response is fully coordinated through the mechanisms of this *Framework*.

JOINT TASK FORCE (JTF)

Based on the magnitude, type of incident and anticipated level of resource involvement, the combatant commander may utilize a JTF to command Federal military forces in support of the incident response. If a JTF is established, consistent with operational requirements, its command and control element will be co-located with the PFO at the JFO to ensure coordination and unity of effort. The co-location of the JTF command and control element does not replace the requirement for a Defense Coordinating Officer (DCO)/Defense Coordinating Element as part of the JFO Unified Coordination Staff. The DCO remains the DOD single point of contact in the JFO for requesting assistance from DOD.

CATASTROPHIC INCIDENTS

A catastrophic event is any natural or manmade incident that results in extraordinary levels of mass casualties, damage or disruption severely affecting the population, infrastructure, environment, economy, national morale and/or government functions. A catastrophic event could:

- Result in sustained national impacts over a prolonged period of time;
- Immediately exceed resources normally available to State, tribal, local and private sector authorities; and
- Significantly interrupt governmental operations and emergency services to such an extent that national security is threatened.

For catastrophic incidents where there is time to work with States to assess their requirements, tailored Federal assets may be pre-deployed. For catastrophic incidents that

occur with little or no warning, such as a large-magnitude earthquake or a terrorist attack, the Federal Government may pre-position assets without prior requests from the State. In extreme circumstances, when State, tribal and local governments are incapacitated, the Federal Government may temporarily assume their roles.

SHORT-TERM RECOVERY ACTIONS

The JFO is the central coordination point among Federal, State, tribal and local agencies and voluntary organizations for delivering recovery assistance programs to help individuals and communities return to normal.

Short-term recovery is immediate and overlaps with response. It includes actions such as providing essential public health and safety services, restoring interrupted utility and other essential services, reestablishing transportation routes and providing food and shelter for those displaced by the disaster. Although called "short term," some of these activities may last for weeks.

MITIGATION ACTIONS

Hazard mitigation involves reducing or eliminating long-term risk to people and property from hazards and their side effects. The JFO is the central coordination point for mitigation assistance programs.

Mitigation measures:

- May be implemented prior to, during or after an incident.
- Are often developed in accordance with lessons learned from prior incidents.

IV. REQUESTING FEDERAL ASSISTANCE

Federal disaster assistance is often thought of as synonymous with Presidential declarations and the Stafford Act. The fact is that Federal assistance can be provided to State, tribal and local jurisdictions, and to other Federal departments and agencies, in a number of different ways through various mechanisms and authorities. The majority of Federal assistance does not require coordination by DHS and can be provided without a Presidential major disaster or emergency declaration.

Federal assistance for incidents that do not require DHS coordination may be led by other Federal departments and agencies consistent with their authorities. The Secretary of Homeland Security may monitor such incidents and may activate *Framework* mechanisms to support departments and agencies without assuming overall leadership for the Federal response to the incident.

FEDERAL SUPPORT TO STATES

STAFFORD ACT

Federal support to State and local jurisdictions takes many forms. The most widely known authority under which assistance is provided for major incidents is the Stafford Act.

When it is clear that State or tribal capabilities will be exceeded or may be exhausted, the Governor can request Federal assistance under the Stafford Act. The Stafford Act authorizes the President to provide financial and other forms of assistance to State and local governments, certain private nonprofit organizations and individuals to support response, recovery and mitigation efforts following Presidentially-declared major disasters and emergencies.

Most incidents are not of sufficient magnitude to merit a Presidential emergency or major disaster declaration. However, when State and local resources are insufficient, a Governor may ask the President to declare a Federal disaster or emergency. Before making a declaration request, the Governor normally must activate the State's emergency plan and ensure that all appropriate State and local actions have been taken, including:

- Surveying the affected areas to determine the extent of private and public damage.
- Conducting joint Preliminary Damage Assessments with DHS/FEMA officials to estimate the types and extent of Federal disaster assistance required.

Only the Governor can initiate a request for a Presidential emergency or major disaster declaration. This request is made through the DHS/FEMA Regional Administrator and is based on a finding that Federal assistance is needed because the situation exceeds State and local response capabilities due to its severity and magnitude. The request includes:

- Information on the extent and nature of State resources that have been or will be used to address the consequences of the disaster.
- A certification by the Governor that State and local governments will assume all applicable non-Federal costs required by the Stafford Act.
- An estimate of the types and amounts of supplementary Federal assistance required.
- Designation of the State Coordinating Officer.

The Governor addresses the request to the President and forwards it to the DHS/FEMA Regional Administrator, who makes a recommendation to the DHS/FEMA Administrator. The DHS/FEMA Administrator then recommends a course of action to the President. The Governor, appropriate members of Congress and Federal agencies are immediately notified of a Presidential declaration. Federal support to States under the Stafford Act is coordinated by DHS.

NON-STAFFORD FEDERAL SUPPORT TO STATE AND LOCAL JURISDICTIONS

If a community requires resources beyond those available from the State, local agencies may request certain types of Federal assistance directly from Federal departments and agencies. For example, under the Comprehensive Environmental Response, Compensation, and Liability Act, local and tribal governments can request assistance directly from the Environmental Protection Agency and/or the U.S. Coast Guard.

This support is usually typically coordinated by the Federal agency with primary jurisdictional authority rather than DHS. The Secretary of Homeland Security may monitor such incidents and may, as requested, activate *Framework* mechanisms to support Federal departments and agencies without assuming overall leadership for the incident.

DOD Immediate Response

As noted in the prior section, the majority of DOD support is coordinated using the concept of DSCA. However, imminently serious conditions resulting from any civil emergency may require immediate action to save lives, prevent human suffering or mitigate property damage.

When such conditions exist, and time does not permit approval from higher headquarters, local military commanders and responsible officials from DOD components and agencies are authorized to take necessary action to respond to requests from civil authorities. This response must be consistent with the Posse Comitatus Act, which generally prohibits Federal military personnel (and units of the National Guard when they are acting under Federal authority) from acting in a law enforcement capacity (e.g., search, seizures, arrests) within the United States, except where expressly authorized by the Constitution or Congress.

Federal Law Enforcement Assistance

Each State has jurisdiction for enforcement of State laws, using State and local resources, including the National Guard (to the extent that the National Guard remains under State authority and has not been called into Federal service or ordered to active duty).

State and local governments may request Federal law enforcement assistance under the Emergency Federal Law Enforcement Assistance Act without a Presidential major disaster or emergency declaration. In addition, Federal agencies may request public safety and security or general law enforcement support from another Federal agency during a large-scale incident. The ESF #13 Annex provides further guidance on the integration of public safety and security resources to support the full range of incident management functions.

FEDERAL-TO-FEDERAL SUPPORT

INTERAGENCY AGREEMENTS

Federal departments and agencies routinely manage the response to incidents under their statutory or executive authorities. For example, the Department of Agriculture/Forest Service and various agencies of the Department of the Interior conduct wildland firefighting activities under existing memorandums of agreement (MOAs) with other Federal, State and local entities.

These types of responses do not require DHS coordination and are led by the Federal entity with primary jurisdiction. In these instances, the Secretary of Homeland Security may monitor such incidents and may, as requested, activate *Framework* mechanisms to provide support to departments and agencies without assuming overall leadership for the incident.

FEDERAL-TO-FEDERAL SUPPORT COORDINATED BY DHS

When a Federal entity with primary responsibility and authority for handling an incident requires Federal assistance above and beyond their interagency mechanisms (e.g., Executive orders, memorandums of understanding (MOUs), MOAs, etc.), that department or agency can request additional Federal assistance through DHS. When this happens, this support is:

- Coordinated by DHS using the multi-agency coordination structures established in the *Framework* and in accordance with the *NIMS*.
- Generally funded by the Federal entity with primary responsibility and statutory authority for the incident in accordance with provisions of the Economy Act, unless other statutory authorities exist.
- Facilitated by the interagency MOU for Mutual Aid, and executed at the time of the incident through interagency agreements (see the Financial Management Support Annex for more information).

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